

2002 UNIFORM BUSINESS REPORT (UBR)

DOCUMENT# F99000005701

FILED
Jan 16, 2002 8:00 AM
Secretary of State

Entity Name: SWS FINANCIAL SERVICES, INC.

Current Principal Place of Business:

7001 PRESTON ROAD, SUITE 300, LB 30
DALLAS, TX 75205

New Principal Place of Business:

Current Mailing Address:

7001 PRESTON ROAD, SUITE 300, LB 30
DALLAS, TX 75205

New Mailing Address:

FEI Number: FEI Number Applied For () FEI Number Not Applicable (X) Certificate of Status Desired ()

Name and Address of Current Registered Agent:

LOWE, KENNETH JR
1434 WEST FAIRBANKS AVENUE
WINTER PARK, FL 32789 US

Name and Address of New Registered Agent:

The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE:

Electronic Signature of Registered Agent

Date

This corporation is eligible to satisfy its Intangible Tax filing requirement and elects to do so (X).

Election Campaign Financing Trust Fund Contribution ().

OFFICERS AND DIRECTORS:

Title: T () Delete
Name: HODGES, STACY
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270

Title: D () Delete
Name: GLADSTEIN, DAVID
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270

Title: D () Delete
Name: FELDER, WILLIAM
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270

Title: CEO () Delete
Name: RIGDON, KERRY M
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270

Title: S () Delete
Name: TUBB, ALLEN R
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270

Title: () Delete
Name:
Address:
City-St-Zip:

ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS:

Title: () Change () Addition
Name:
Address:
City-St-Zip:

Title: D (X) Change () Addition
Name: GLADSTEIN, DAVID DELETE
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270

Title: () Change () Addition
Name:
Address:
City-St-Zip:

Title: () Change () Addition
Name:
Address:
City-St-Zip:

Title: () Change () Addition
Name:
Address:
City-St-Zip:

Title: VP () Change (X) Addition
Name: HUIE, RAY P
Address: 1201 ELM STREET, SUITE 3500
City-St-Zip: DALLAS, TX 75270

I hereby certify that the information supplied with this filing does not qualify for the for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my electronic signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears above, or on an attachment with an address, with all other like empowered.

SIGNATURE: KERRY M. RIGDON

CEO

01/16/2002

Electronic Signature of Signing Officer or Director

Date

STACY M. HODGES, FINOP/CFO/TREAS
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DALLAS, TX 75270

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